

FORM PTO-1350  
(REV. 9-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

B-4460PCT 619454-8

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/031026  
not yet assignedINTERNATIONAL APPLICATION NO.  
PCT/JP00/04641INTERNATIONAL FILING DATE  
12 July 2000PRIORITY DATE CLAIMED  
14 July 1999

TITLE OF INVENTION

IMAGING OPTICAL SYSTEM

APPLICANT(S) FOR DO/EO/US

Eiki Matsuo

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment. with Appendix A and Appendix B
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Verified Statement Claiming Small Entity Status--Independent Inventor  
 Copy of Japanese-language PCT International Application as published  
 Copy of International Search Report (see Japanese-language PCT International Application)  
 Copy of PCT Request  
 Copy of PCT Demand  
 Copy of PCT Preliminary Examination Report  
 Copy of English-language translation of Response to Written Opinion from the International Preliminary Examining Authority  
 Copy of Form PCT/IB/301  
 Copy of Form PCT/IB/304  
 Copy of Form PCT/IB/308  
 Claim to Priority

U.S. APPLICATION NO. 00/03176  
not yet assignedINTERNATIONAL APPLICATION NO.  
PCT/JP00/04641ATTORNEY'S DOCKET NUMBER  
B-4460PCT 619454-821. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)

nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO

and International Search Report not prepared by the EPO or JPO ..... \$1040.00

International preliminary examination fee (37 CFR 1.482) not paid to

USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO

but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO

but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO

and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS NUMBER FILED NUMBER EXTRA RATE

Total claims 14 - 20 = 0 x \$18.00 \$ 0

Independent claims 1 - 3 = 0 x \$84.00 \$ 0

MULTIPLE DEPENDENT CLAIM(S) (if applicable) 0\* + \$280.00 \$ 0\*

TOTAL OF ABOVE CALCULATIONS =

\$ 890.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

+

\$ 445.00

SUBTOTAL =

\$ 445.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0

TOTAL NATIONAL FEE =

\$ 445.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$ 445.00

\*Preliminary Amendment deleting  
multiple dependencies enclosed herewith.Amount to be  
refunded:

\$

charged:

\$

a. ☒ A check in the amount of \$ 445.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 12-0415 A duplicate copy of this sheet is enclosed.d. ☐ Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.SEND ALL CORRESPONDENCE TO: January 14, 2002  
DATE

SIGNATURE

Richard P. Berg

NAME

28,145

REGISTRATION NUMBER

LADAS &amp; PARRY

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10/031026

IN THE UNITED STATES DESIGNATED OFFICE DO/US

REGARDING THE INTERNATIONAL APPLICATION OF:

Eiki MATSUOENTITLED: "IMAGING OPTICAL SYSTEM"INTERNATIONAL APPLN. NO. PCT/JP00/04641Our Ref: B-4460PCT 619454-8

Commissioner of Patents and Trademarks

BOX PCT

Washington, D.C. 20231

Attn: United States Designated/Elected Office (DO/EO/US)

INTERNATIONAL STAGE EXPRESS MAIL CERTIFICATE"Express Mail" label number EL652176477USDate of Deposit: January 14, 2002I hereby certify that the following attached papers or fee

- postcard
- check for \$445.00
- Transmittal Letter (2 pages)
- Preliminary Amendment (11 pages) with
  - Appendix A (6 pages) and Appendix B (2 pages)
- copy of English-language Translation of PCT International Application as filed consisting of:
  - Specification (52 pages)
  - Claims (3 pages)
  - Abstract (1 page)
  - 25 Sheets of Drawings
    - (Figs. 1-26, 27(a)-27(b), 28-32, 33(a)-33(b), 24-46)
- Verified Statement Claiming Small Entity Status--
  - Independent Inventor (1 page)
- Declaration/Power of Attorney form (3 pages)
- Copy of Japanese-language PCT International Application as published consisting of:
  - Title Page with Abstract (2 pages)
  - Specification (37 pages)
  - Claims (3 pages)
  - 25 Sheets of Drawings
    - (Figs. 1-26, 27(a)-27(b), 28-32, 33(a)-33(b), 24-46)
  - International Search Report (2 pages)
- Copy of PCT Request (3 pages)
- Copy of PCT Demand (3 pages)
- Copy of PCT Preliminary Examination Report (7 pages)
- Copy of English-language translation of Response to Written Opinion from the International Preliminary Examining Authority (7 pages)
- Copy of Form PCT/IB/301 (1 page)
- Copy of Form PCT/IB/304 (1 page)
- Copy of Form PCT/IB/308 (1 page)
- Claim to Priority (1 page)

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service with sufficient postage under 37 CFR 1.10 on the date indicated above in an envelope addressed to the Commissioner of Patents and Trademarks, Box PCT, Washington, D.C. 20231, Attn: United States Designated/Elected Office (DO/EO/US).

Karyn Lao

(Typed or printed name of person mailing paper or fee)